

C 2.1.6. Extensibility. RMAs shall include the capability to provide open standards interfaces in order to integrate into an organization's information technology enterprise. This capability shall include the capability to accept and file records from producing applications and provide support to the organization's workflow.

C2.1.7. Security Compliance. RMAs shall support applicable security standards including Security Technical Implementation Guides.

C2.2. DETAILED REQUIREMENTS

C2.2.1. Implementing File Plans. RMAs shall provide the capability to:

C2.2.1.1. Allow only authorized individuals to create, edit, and delete file plan components and their identifiers. Each component identifier shall be linked to its associated component and to its higher-level component identifier(s) (part 1222.50 of Reference (g) and section 3303 of title 44 USC (Reference (x))). Table C2.T.1. identifies mandatory file plan components. The Mandatory Data Collection section indicates that RMAs shall ensure population of the associated data structure with non-null values. For fields that are not in the Mandatory Data Collection section, the RMA shall behave in a predictable manner as a result of queries or other operations when the fields are not populated. The Mandatory Data Structure section indicates that the field must be present and available to the user either as read/write or as read only depending upon the kind of data being stored. The Mandatory Support section indicates that the RMA shall support capability without requiring knowledge of the underlying source code, data structure, or other implementation details. The file plan components should be organized into logical sets that, when populated, shall provide all the file plan references necessary to properly annotate (file) a record.

Table C2.T.1. File Plan Components

| Requirement | File Plan Component | Reference/ Comment |
|----------------------------------|---------------------------------------------|-----------------------------------------------------------------------------|
| Mandatory Data Collection | | |
| C2.T1.1. | Record Category Name | Records Management Task Force (RMTF) Guidance (Reference (y)) |
| C2.T1.2. | Record Category Identifier | RMTF (Reference (y)); RMAs shall ensure unique. |
| C2.T1.3. | Record Category Description | RMTF (Reference (y)) |
| C2.T1.4. | Disposition Instructions | part 1228.24 of Reference (g) |
| C2.T1.5. | Disposition Authority | RMTF (Reference (y)) |
| C2.T1.6. | Transfer or Accession to NARA Indicator | |
| C2.T1.7. | Vital Record Indicator | part 1236.20 of Reference (g) |
| Mandatory Data Structure | | |
| C2.T1.8. | Vital Record Review and Update Cycle Period | part 1236.20 of Reference (g); Mandatory if vital record indicator is true. |

| Requirement | File Plan Component | Reference/ Comment |
|--------------------------|---------------------------------|------------------------------------------------------------|
| Mandatory Support | | |
| C2 T1.9. | Organizational Definable Fields | Multiple organizational defined fields shall be supported. |

C2.2.1.2. Allow only authorized individuals to designate the metadata fields to be constrained to selection lists. RMAs shall provide the capability for authorized individuals to create and maintain selection lists for all supported data types (e.g., drop-down lists) for metadata items that are constrained to a pre-defined set of data.

C2.2.1.3. Allow only authorized individuals to create, edit, and delete file plan metadata elements or attributes, and their associated selection lists.

C2.2.1.4. Allow only authorized individuals to select where data collection for optional metadata fields is mandatory for a given organization.

C2.2.1.5. Allow only authorized individuals to create, edit, and delete record folder components and their non-system generated identifiers. Each component identifier shall be linked to its associated component and to its higher-level file plan component identifier(s) (parts 1194.21 and 1222.50 of Reference (g)). Table C2. T2 identifies mandatory record folder components. The Mandatory Data Collection indicates that RMAs shall ensure population of the associated data structure with non-null values. For fields that are not in the Mandatory Data Collection column, the RMA shall behave in a predictable manner as a result of queries or other operations when the fields are not populated. The Mandatory Inheritance Support column indicates that the field must inherit data from the same field in the parent object and may be locally overwritten. The Mandatory Data Structure column indicates that the field must be present and available to the user either as read/write or as read only depending upon the kind of data being stored. The Mandatory Support column indicates that the RMA shall support capability without requiring knowledge of the underlying source code, data structure, or other implementation details. If the RMA requires the use of folders for all categories, it must be able to accommodate record-level retention schedules without requiring the user to create a folder for each record.

Table C2. T2. Record Folder Components

| Requirement | File Plan Component | Reference/ Comment |
|----------------------------------|------------------------|-----------------------------------------------------------------------------------|
| Mandatory Data Collection | | |
| C2.T2.1. | Folder Name | |
| C2.T2.2. | Folder Identifier | RMAs shall ensure unique. |
| C2.T2.3. | Location | RMTF (Reference (y)); Mandatory if the record is not in the RMA repository. |
| C2.T2.4. | Vital Record Indicator | part 1236.20 of Reference (g) |

| Requirement | File Plan Component | Reference/ Comment |
|---------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------|
| Mandatory Data Structure | | |
| C2.T2.5 | Vital Record Review and Update Cycle Period | part 1236.20 of Reference (g); Mandatory if Vital Record Indicator is true. Inheritance may be overwritten by user. |
| C2.T2.6 | Supplemental Marking List | Multiple supplemental marking entry selections shall be supported. |
| Mandatory Support | | |
| C2.T2.7 | Organization Definable Fields | Multiple organization definable fields shall be supported. |

C2.2.1.6. Allow only authorized individuals to create, edit, and delete folder metadata elements or attributes, and their associated selection lists.

C2.2.1.7. Ensure that identifiers (e.g., folder identifiers, record category identifiers) are unique so that ambiguous assignments, links, or associations cannot occur.

C2.2.1.8. Associate the attributes of file plan components to record folders and records where the records are not associated with folders.

C2.2.1.9. Provide a scripting capability to allow only authorized individuals to attach simple process actions such as alerts and notifications to any or all metadata fields or to restrict record access based on the content of fields. This scripting capability shall allow for evaluation of the contents of 2 or more fields on the same record, as well as of fields in objects linked to that record.

C2.2.1.10. Sort by a single field or multiple fields, and to view, save, and print user-selected portions of the file plan, including record folders (Reference (y)).

C2.2.2. Scheduling Records. RMAs shall provide the capability to:

C2.2.2.1. Allow only authorized individuals to create, edit, and delete retention schedule components of record categories.

C2.2.2.2. Define an unconstrained number of multiple phases (e.g., transfer to inactive on-site storage, transfer to off-site storage) within a retention schedule.

C2.2.2.3. Define parallel and interdependent phases within a retention schedule, including the capability to assign phase precedence or weight.